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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/824,305

04/02/2001

Umesh Mahajan

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7590

01/09/2008

BUCKLEY, MASCHOFF & TALWALKAR LLC

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NEW CANAAN, CT 06840

EXAMINER

GREIMEL, JOCELYN

ART UNIT

PAPER NUMBER

3693

MAIL DATE

DELIVERY MODE

01/09/2008

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 09/824,305	Applicant(s) MAHAJAN ET AL.	
	Examiner Jocelyn Greimel	Art Unit 3693	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 November 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 8, 20, 26, 28-30, 32 and 33 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 8, 20, 26, 28-30 and 32-33 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 15 November 2007 has been entered.

Status of Claims

Claims 8, 20, 26, 28-30 and 32-33 are currently pending. Claims 1-7, 9-19, 21-25, 27 and 31 have been cancelled. Claims 1 and 20 are independent claims.

Claim Rejections - 35 USC § 112

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

2. Claim 8 recites the limitation: "at least one intermediate component layer for supplying information to the workspace and transferring information from the interface." There is insufficient antecedent basis for "the interface" in the claim. Appropriate correction is required.

3. Claim 20 recites the limitation: "supplying information to the interface and transferring information from the interface through at least one intermediate component layer." There is insufficient antecedent basis for "the interface" in the claim. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. **Claims 8, 20, 26, 28-30 and 32-33 are rejected under 35 U.S.C. 102(b) as being anticipated by Buist (U.S. Patent No. 6,408,282 B1).**

6. In reference to claims 8 and 20, Buist discloses a method and apparatus for executing and processing financial instrument transactions comprising:

- a. displaying a presentation layer further comprising a workspace (*workstation connected to network (Internet)*);
- b. supplying information to the interface and transferring information from the interface through at least one intermediate component layer (*broker/dealer server, replica database*);
- c. supplying information to said intermediate component layer and transferring information from said intermediate component layer through at least one information source layer; wherein said workspace further comprises at least one sub interface, which sub interface is selected from the group comprising an order entry interface, an order modification interface, an order monitoring interface, an instrument monitoring interface, and a market monitoring interface (*master trade screen display*);
- d. wherein said intermediate component layer is comprised of a plurality of intermediate components selected from a predetermined group of intermediate components,
- e. wherein said selection occurs at least in part based upon the sub interface or sub interfaces chosen; said intermediate components of which said intermediate component layer is comprised including:
 - i. (a) a first intermediate component that provides a cache for information concerning financial instruments; and

ii. (b) a second intermediate component that stores user preferences for the workspace;

(1) wherein said user preferences stored in said second intermediate component include at least one of: (i) a workspace layout; (ii) a color scheme; and (iii) a type and form of information to be displayed (*"the system stores the user's preferences on the replica server database..."* which includes the user's watch list (which is a type and form of information to be displayed)). {please see at least col. 1-3, 6-8, 11-12, 17-18 and 24).

7. In reference to claims 26, 28-30 and 32-33, Buist discloses a method and apparatus for executing and processing financial instrument transactions at detailed above and additionally comprising:

f. wherein said sub interface further comprises a window (at least col. 7);

g. wherein said workspace is user configurable (col. 8, line 48+; *The servers interact with the user workstations and store information relating to the users' accounts and portfolios as well as other data. This information is updated. The function buttons can be used to customize the GUI.*);

h. wherein said workspace has a default configuration (col. 11-12);

i. wherein said method further comprises the step of trading a financial instrument through said user interface (col. 2, line 60+; *The system and method... supports trading of securities over the Internet...*);

j. wherein said step of trading financial instruments through said user interface further comprises trading said instrument through aggregate pricing of said instrument (col. 9, line 10 – col. 13, line 13; *The columns discuss the trading of securities and the pricing.*)

Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

k. Baecker, 2001/0049649

l. Belzberg, 6,134,535.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jocelyn Greimel whose telephone number is (571) 272-3734. The examiner can normally be reached on Monday - Friday 8:30 AM - 4:30 PM EST.

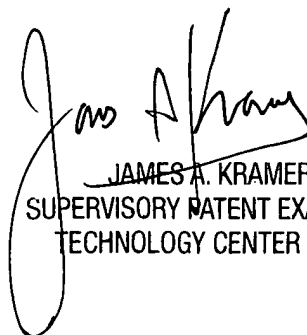
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Jocelyn Greimel
Examiner, Art Unit 3693
December 30, 2007

 1/3/08
JAMES A. KRAMER
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 3600